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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Gell, et al.

Serial No.: 10/755,856

Filing Date: January 12, 2004

For: COATINGS, MATERIALS, ARTICLES, AND METHODS)  
OF MAKING THEREOF



)  
) Group Art Unit: 1762  
)  
) Examiner:  
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)  
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Commissioner for Patents  
P. O. Box 1450  
Alexandria, VA 22313-1450

**INFORMATION DISCLOSURE STATEMENT**  
**UNDER 37 CFR §§ 1.56, 1.97 AND 1.98**

Sir:

In compliance with the duty to disclose, submitted herewith is form PTO-A820 (PTO-1449) listing publication(s) of which those designated by 37 CFR § 1.56 are aware. Copies of the non-United States patents or published applications are enclosed.

The filing of this Information Disclosure Statement shall not be construed as a representation that a search has been made, or an admission that the information cited is, or is considered to be, material to patentability.

Respectfully submitted,

CANTOR COLBURN LLP

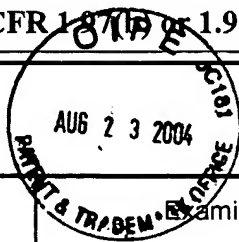
By: Patricia S. DeSimone  
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**TRANSMITTAL OF INFORMATION DISCLOSURE STATEMENT**  
(Under 37 CFR 1.97(b) or 1.97(c))

Docket No.  
UCT-0040

In Re Application Of: Gell, et al.



Application No.	Filing Date	Examiner	Customer No.	Group Art Unit	Confirmation No.
10/755,856	January 12, 2004	NYA	23413	1762	8424

Title: COATINGS, MATERIALS, ARTICLES, AND METHODS OF MAKING THEREOF

Address to:  
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Alexandria, VA 22313-1450

**37 CFR 1.97(b)**

1. ☒ The Information Disclosure Statement submitted herewith is being filed within three months of the filing of a national application other than a continued prosecution application under 37 CFR 1.53(d); within three months of the date of entry of the national stage as set forth in 37 CFR 1.491 in an international application; before the mailing of a first Office Action on the merits, or before the mailing of a first Office Action after the filing of a request for continued examination under 37 CFR 1.114.

**37 CFR 1.97(c)**

2. ☐ The Information Disclosure Statement submitted herewith is being filed after the period specified in 37 CFR 1.97(b), provided that the Information Disclosure Statement is filed before the mailing date of a Final Action under 37 CFR 1.113, a Notice of Allowance under 37 CFR 1.311, or an Action that otherwise closes prosecution in the application, and is accompanied by one of:
- ☐ the statement specified in 37 CFR 1.97(e);
- OR**
- ☐ the fee set forth in 37 CFR 1.17(p).

<b>TRANSMITTAL OF INFORMATION DISCLOSURE STATEMENT</b> (Under 37 CFR 1.97(b) or 1.97(c))				Docket No. UCT-0040	
In Re Application:    Gell, et al.					
Application No.	Filing Date	Examiner	Customer No.	Group Art Unit	Confirmation No.
10/755,856	January 12, 2004	NYA	23413	1762	8424
Title:    COATINGS, MATERIALS, ARTICLES, AND METHODS OF MAKING THEREOF					

**Payment of Fee**  
(Only complete if Applicant elects to pay the fee set forth in 37 CFR 1.17(p))

☐ A check in the amount of \_\_\_\_\_ is attached.

☒ The Director is hereby authorized to charge and credit Deposit Account No.    06-1130 as described below.

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*Patricia S. DeSimone*

Signature

**Patricia S. DeSimone**  
**Registration No. 48,137**  
**Customer No. 23413**  
**Phone No. (860) 286-2929**

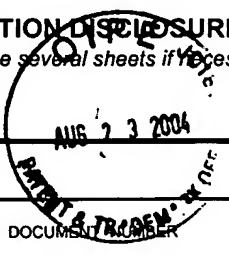
Dated:    August 19, 2004

CC:

<b>INFORMATION DISCLOSURE CITATION</b> <i>(Use several sheets if necessary)</i>				ATTY DOCKET NO.		APPLICATION NO.	
				UCT-0040		10/755,856	
				APPLICANT(S)			
				Gell, et al.			
FILING DATE				GROUP ART UNIT			
January 12, 2004				1762			
<b>U.S. PATENT DOCUMENTS</b>							
*EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
		4,377,371	3/22/1983	Wisander, et al.	415	174	3/11/1981
		5,032,568	7/16/1991	Lau, et al.	505	1	9/1/1989
		5,073,433	12/17/1991	Taylor,	428	134	10/20/1989
		5,304,519	4/19/1994	Jackson, et al.	501	103	10/28/1992
		5,418,015	5/23/1995	Jackson, et al.	427	452	3/28/1994
<b>U.S. PATENT APPLICATION PUBLICATIONS</b>							
*EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
<b>FOREIGN PATENT DOCUMENTS</b>							
		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION YES NO
		UK2100621	11.06.1981	United Kingdom			
		WO 97/05994	20.02.1997	PCT			
		WO 00/00660	06.01.00	PCT			
<b>OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)</b>							
		Arellano-Lopez, "Microstructural Characterization of Small-Particle Plasma Spray Coatings". J. Am. Ceram. Soc, 82 (8) 2204-2208 (1999)					
		Bouyer, et al. "Characterization of SiC and Si3N4 coatings synthesized by means of inductive thermal plasma from disilane precursors". Applied Organometallic Chemistry. Appl. Organometal. Chem. 2001; 15: 833-840					
EXAMINER				DATE CONSIDERED			

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<b>INFORMATION DISCLOSURE CITATION</b> (Use several sheets if necessary)	ATTY DOCKET NO. <b>UCT-0040</b>	APPLICATION NO. <b>10/755,856</b>
	Gell, et al.	
	FILING <b>January 12, 2004</b>	GROUP ART <b>1762</b>



U.S. PATENT DOCUMENTS							
*EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
		5,421,895	6/6/1995	Tsubouchi, et al.	118	726	12/22/1992
		5,520,516	5/28/1996	Taylor, et al.	416	241	9/16/1994
		5,609,921	3/11/1997	Gitzhofer, et al.	427	446	8/26/1994
		5,620,524	4/15/1997	Fan, et al.	118	726	2/27/1995
		5,743,013	4/28/1998	Taylor, et al.	29	889.7	2/5/1996

U.S. PATENT APPLICATION PUBLICATIONS							
*EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE

FOREIGN PATENT DOCUMENTS								
		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
							YES	NO

OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)			
			Delbos, et al. "Plasma Spray Elaboration of Finely Structured YSZ Thin Coating by Liquid Suspension Injection". Thermal Spray 2003: Advancing the Science & Applying the Technology, (Ed.) C. Moreau and B. Marple, Published by ASM International, Materials Park, Ohio, USA, 2003. pp 661-669
			Devi, et al. "Comparison of citrate-nitrate gel combustion and precursor plasma spray processes for the synthesis of yttrium aluminum garnet". J. Mater. Res., Vol. 17, No. 11, Nov. 2002. pp 2846-2851

EXAMINER	DATE CONSIDERED
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*EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE	
		5,744,777	4/28/1998	Bernecki, et al.	219	121.47	5/31/1996	
		5,858,470	1/12/1999	Bernecki, et al.	427	453	8/1/1997	
		5,876,683	3/2/1999	Glumac, et al.	423	325	11/2/1995	
		6,025,034	2/15/2000	Strutt, et al.	427	450	2/5/1998	
		6,132,653	10/17/2000	Hunt, et al.	264	5	4/16/1999	
<b>U.S. PATENT APPLICATION PUBLICATIONS</b>								
*EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE	
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		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
							YES	NO
<b>OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)</b>								
		Davi, et al. "Single-step deposition of Eu-doped Y2O3 phosphor coatings through a precursor plasma spraying technique". J. Mater. Res., Vol 17, No. 11, Nov. 2002. pp. 2771-2774						
		Karthikeyan, et al. "Preparation of Nanophase Materials by Thermal Spray Processing of Liquid Precursors". NanoStructured Materials, Vol. 9, pp. 137-140. 1997						
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<b>INFORMATION DISCLOSURE CITATION</b> <i>(Use several sheets if necessary)</i> <div style="border: 1px solid black; border-radius: 50%; width: 100px; height: 100px; display: flex; align-items: center; justify-content: center; margin: 10px auto;"> <div style="writing-mode: vertical-rl; transform: rotate(180deg); font-size: 8px;">PATENT &amp; TRADEMARK OFFICE</div> <div style="text-align: center;">AUG 23 2004</div> </div>				ATTY DOCKET NO. <b>UCT-0040</b>		APPLICATION NO. <b>10/755,856</b>		
				Gell, et al.				
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		6,195,504	2/27/2001	Horie, et al.	392	394	11/19/1997	
		6,277,448	8/21/2001	Strutt, et al.	427	452	6/4/1999	
		6,432,487	8/13/2002	Graham, et al.	427	454	12/28/2000	
		4,447,848	09/10/2002	Chow, et al.	427	446	6/30/1998	
<b>U.S. PATENT APPLICATION PUBLICATIONS</b>								
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<b>FOREIGN PATENT DOCUMENTS</b>								
		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
							YES	NO
<b>OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)</b>								
			Karthikeyan, et al. "nanomaterial Deposits Formed by DC Plasma Spraying of Liquid Feedstocks". J. Am. Ceram. Soc., 81 (1) 121-128 (1998)					
			Karthikeyan, et al. "Nanomaterial Powders and Deposits Prepared by Flame Spray Processing of Liquid Precursors". NanoStructured Materials, Vol. 8. No. 1, pp. 61-74, 1997					
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		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
							YES	NO
<b>OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)</b>								
			Ma, et al. "Intermediate Temperature SOFC Based on Fully Integrated Plasma Sprayed Components". 6 pages					
			Ma, et al. "Study of Unique Microstructure in SPS Ceramic NanoCoatings". 6 pages					
EXAMINER				DATE CONSIDERED				

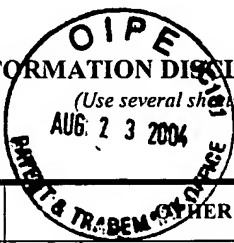
\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.



# **INFORMATION DISCLOSURE CITATION**

(Use several sheets if necessary)

AUG 23 2004



Docket Number (Optional)

UCT-0040

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Applicant(s)

Gell, et al.

Filing Date

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Group Art Unit

1762

\*EXAMINER  
INITIAL

OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

Padture, et al. "Towards Durable Thermal Barrier Coatings with Novel Microstructures Deposited by Solution-Precursor Plasma Spray". Acta mater. 49 (2001) 2251-2257

Su, et al. "In Situ Characterization of Small-Particle Plasma Sprayed Powders". Journal of Thermal Spray Technology Vol. 11 (1) March 2002 pp 52-61

Parukuttyamma, et al. "Yttrium Aluminum Garnet (YAG) Films through a Precursor Plasma Spraying Technique". J. Am. Ceram. Soc., 84 (8) 1906-1908 (2001)

Tikkanen, et al. "Characteristics of the liquid flame spray process". Surface and Coatings Technology 90 (1997) 210-216

Schlichting, "Failure Modes in Plasma-Sprayed Thermal Barrier Coatings" University of Connecticut, (2000) 186 pages

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